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Box SEC A

PTO/SB/05 (03/04)

Approved for use through 10/31/2002. OMB 0651-0052
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**UTILITY
PATENT APPLICATION
TRANSMITTAL**

(Only for new nonprovisional applications under 37 CFR 1.53 (b))

Attorney Docket No.		LEX-0268-USA
First Inventor		Walke, et al.
Title	Novel Human Secreted Proteins and Polynucleotides Encoding the Same	
Express Mail Label No.	EL747066131US	

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application

ADDRESS TO:Assistant Commissioner for Patents
Box Patent Application
Washington, DC 20231

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)
2. ☒ Applicant claims small entity status.
See 37 CFR 1.27.
3. ☒ Specification (preferred arrangement set forth below) [Total Pages 34]
- Descriptive title of the Invention
 - Cross Reference to Related Applications
 - Statement Regarding Fed sponsored R & D
 - Reference to sequence listing, a table, or a computer program listing appendix
 - Background of the Invention
 - Brief Description of the Drawings (if filed)
 - Detailed Description
 - Claim(s)
 - Abstract of the disclosure
4. ☐ Drawing(s) (35 U.S.C. 113) [Total Sheets]
5. Oath or Declaration [Total Pages 2]
- a. ☒ Unexecuted
- b. ☐ Copy from a prior application (37 CFR 1.63(d)) (for continuation/divisional with Box 18 completed)
- i. ☐ **DELETION OF INVENTOR(S)**
signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
6. ☐ Application Data Sheet. See 37 CFR 1.76

7. ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
- a. ☐ Computer Readable Form (CRF)
- b. Specification Sequence Listing on:
- i. ☒ diskette
- ii. ☒ paper 5 pages
- c. ☒ Statements verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

9. ☐ Assignment Papers (cover sheet & document(s))
10. ☐ 37 CFR 3.73(b) Statement (when there is an assignee) ☒ Power of Attorney
11. ☐ English Translation Document (if applicable)
12. ☐ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS Citations
13. ☐ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503) (Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s) (if foreign priority is claimed)
16. ☐ Nonpublication Request under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent
17. ☐ Other:

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No.: _____

Prior application information:

Examiner

Group Art Unit:

For CONTINUATION or DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference.

The Incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

19. CORRESPONDENCE ADDRESS☐ Customer Number or Bar Code Label

(Insert Customer No. or Attach bar code label here)

or ☐ Correspondence address below

Name			
Address			
City	State	Zip	
Country	Telephone	Fax	

Name (Print/Type)	Lance K. Ishimoto	Registration No. (Attorney/Agent)	41,866
Signature	Lance K. Ishimoto by David N. Slater	Date	November 9, 2001

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

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OMB 0651-0032
U.S. Patent and Trademark Office, U.S. DEPARTMENT OF COMMERCE
OF INFORMATION unless it displays a valid OMB control number

FEE TRANSMITTAL for FY 2001

Patent fees are subject to annual revision.

Complete If Known

Application Number	To be assigned
Filing Date	November 9, 2001
First Named Inventor	Yu et al.
Examiner Name	To be assigned
Group Art Unit	To be assigned
Attorney Docket No.	LEX-0268-USA

TOTAL AMOUNT OF PAYMENT (\$)

METHOD OF PAYMENT

1. ☐ The Commissioner is hereby authorized to charge indicated fees and credit any overpayment to.

Deposit Account Number: 50-0892

Deposit Account Name: Lexicon Genetics Incorporated

☐ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17

☒ Applicant claims small entity status. See 37 CFR 1.17

2. **Payment Enclosed:**

☐ Check ☐ Credit card ☐ Money Order ☐ Other

FEE CALCULATION (continued)

3. ADDITIONAL FEES		Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Code	Fee (\$)		
105	130	205	65			Surcharge - late filing fee or oath	
127	50	227	25			Surcharge - late provisional filing fee or cover sheet	
139	130	139	130			Non-English specification	
147	2,520	147	2,520			For filing a request for <i>ex parte</i> reexamination	
112	920*	112	920*			Requesting publication of SIR prior to Examiner action	
113	1,840*	113	1,840*			Requesting publication of SIR after	
115	110	215	55			Extension for reply within first month	
116	400	216	200			Extension for reply within second month	
117	920	217	460			Extension for reply within third month	
118	1,440	218	720			Extension for reply within fourth month	
128	1,960	228	980			Extension for reply within fifth month	
119	320	219	160			Notice of Appeal	
120	320	220	160			Filing a brief in support of an appeal	
121	280	221	140			Request for oral hearing	
138	1,510	138	1,510			Petition to institute a public use proceeding	
140	110	240	55			Petition to revive - unavoidable	
141	1,260	241	630			Petition to revive - unintentional	
142	1,260	242	630			Utility issue fee (or reissue)	
143	460	243	230			Design issue fee	
144	620	244	310			Plant issue fee	
122	130	122	130			Petitions to the Commissioner	
123	50	123	50			Processing fee under 37 CFR 1.17(a)	
126	160	126	160			Submission of Information Disclosure Sheet	
581	40	581	40			Recording each patent assignment per property (times number of properties)	
146	740	246	370			Filing a submission after final rejection (37 CFR § 1.159(a))	
149	740	249	370			For each additional invention to be examined (37 CFR § 1.129(b))	
179	740	279	370			Request for Continued Examination (RCE)	
169	900	169	900			Request for expedited examination of a design application	
Other fee (specify)							
*Reduced by Basic Filing Fee Paid							
SUBTOTAL (\$)							

FEE CALCULATION

1. BASIC FILING FEE		Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Code	Fee (\$)		
101	740	201	370			Utility filing fee	370
106	330	206	165			Design filing fee	
107	510	207	255			Plant filing fee	
108	740	208	370			Reissue filing fee	
114	160	214	80			Provisional filing fee	
SUBTOTAL (1) (\$)							370.00

2. EXTRA CLAIM FEES

Extra Claims

Fee from below

Fee

Total Claims: 7 -20% 0 X =

Independent: 7 -3% 4 X = 28

Multiple Dependent: =

Large Entity Fee Code (\$)

Small Entity Fee Code (\$)

Fee Description

103	16	203	8	9	Claims in excess of 20
102	84	202	42	4	Independent claims in excess of 3
104	280	204	140	1	Multiple dependent claim, if not paid
109	84	209	42	**	Reissue independent claims over original patent
110	16	210	8	**	Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$) 168.00

*or number previously paid, if greater. For Reissues, see above

SUBMITTED BY

Name (Print/Type)	Lance K. Ishimoto	Registration No. (Attorney/Agent)	41,866	Telephone	281-333-3413
Signature	<i>Lance K. Ishimoto by David W. Hsueh</i>	DAVID W. HSUEH	REG. NO. 41,071	Date	November 9, 2001

Complete (if applicable)

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IN THE UNITED STATES PATENT & TRADEMARK OFFICE

Applicant: Walke et al.

U.S. Ser. No.: To Be Assigned Attorney Docket No.: LEX-0268-USA

Filing Date: November 9, 2001

For: Novel Human Secreted Proteins and
Polynucleotides Encoding the Same

VERIFIED STATEMENT

Commission for Patents
Washington, D.C. 20231

Sir:

I, DRENDA D. THOMAS, do declare and state as follows:

1. I prepared a Sequence Listing in paper and computer readable form under 37 C.F.R. Sec. 1.821-1.825 in connection with the above-captioned patent application.

2. I hereby state that the contents of the paper and computer readable copies of the Sequence Listing are the same.

Signed,

November 9, 2001
Date

Drenda Thomas
Drenda D. Thomas